

PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

12/31/2001 JBALINAW 00000088 190131 10028144

01 FC:101	740.00 CH
02 FC:103	630.00 CH

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SD-6411/S92,463
December 20, 2001
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ASSISTANT COMMISSIONER FOR PATENTS
BOX PATENT APPLICATION
WASHINGTON, D.C. 20231



UTILITY PATENT APPLICATION TRANSMITTAL
Under 37 CFR 1.53(b)

Transmitted herewith for filing is the patent application of

INVENTOR(S): Albert C. Marshall, Donald B. King, Kevin R. Zavadil, Stanley H. Kravitz, Chris P. Tigges and Gregory A. Vawter

FOR: Self-Powered Microthermionic Converter

I. APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form (original + duplicate)
2. ☒ Specification
Total Pages 27
3. ☒ Drawings
Total Sheets 17
4. ☒ Oath or Declaration (with Power of Attorney) Total Pages 3
 - a. ☒ Newly Executed
 - b. ☐ Copy from Prior Application
(Continuation or Divisional)

☐ Deletion of Inventors
Signed Statement Attached Deleting Inventor(s) named in prior Application. 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by Reference (if Box 4b is checked). The entire disclosure of the prior application(s) from which a copy of the Oath or Declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)

II. ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet and document(s))
8. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☒ Power of Attorney (with the Declaration)
9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
10. ☐ Preliminary Amendment
11. ☒ Return Receipt Postcard (Itemized)
12. ☒ Other – Request and Certification

III. IF A CONTINUING APPLICATION

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)

of prior application No. __/____

IV. CORRESPONDENCE ADDRESS

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FAX: (505) 844-1218

Dated: _____

12/19/01

Robert D. Watson

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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U. S. Postal Service on, 12/20/01, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL026585463US addressed to the: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Mary Loukota
Mary Loukota

<h2 style="text-align: center; margin: 0;">FEE TRANSMITTAL FOR FY 2002</h2> <p style="font-size: small; margin: 5px 0;">Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement. Otherwise large entity fees must be paid. See Forms PTO/SB/09-12.</p>	Complete if Known	
	Application Number	
	Filing Date	12/24/01
	First Named Inventor	Marshall, et al
	Examiner Name	
	Group / Art Unit	
TOTAL AMOUNT OF PAYMENT	(\$) 1370.00	
	Attorney Docket No.	SD6411S92463

<h3 style="margin: 0;">METHOD OF PAYMENT (check one)</h3> <p>The Commissioner is hereby authorized to charge</p> <p>1. <input checked="" type="checkbox"/> Indicated fees and credit any over payments to:</p> <p>Deposit Account Number 19-0131</p> <p>Deposit Account Name Sandia National Labs</p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. Payment Enclosed:</p> <p><input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<h3 style="margin: 0;">FEE CALCULATION (continued)</h3> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>11</td><td>1,840</td><td>Requesting publication of SIR after Examiner</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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SUBMITTED BY				Complete (if applicable)	
Typed or Printed Name	Robert D. Watson			Reg. Number	45,604
Signature	Robert D. Watson			Date	12/19/01
				Deposit Account User ID	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor		Marshall et al
	Title	Self-Powered Microtherionic Converter	
	Atty Docket Number		SD6411/S92463

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

12/19/01

Date

Robert D. Watson

Signature

Robert D. Watson

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Application may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**